



COPY OF PAPERS
ORIGINALLY FILED

Please type a plus sign inside this box → +

25
PAPERS
ORIGINALLY FILED

MP/JP
PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

17

Application Number

10/099,875

Filing Date

March 15, 2002

First Named Inventor

Qian Yu

Group Art Unit

2633

Examiner Name

Not Yet Assigned

Attorney Docket Number

51519-P001US-10203244

ENCLOSURES (check all that apply)

- Fee Transmittal Form
 Fee Attached
 Amendment/Reply
 After Final
 Affidavits/declaration(s)
 Extension of Time Request
 Express Abandonment Request
 Information Disclosure Statement
 Certified Copy of Priority Document(s)
 Response to Missing Parts/ Incomplete Application
 Response to Missing Parts under 37 CFR 1.52 or 1.53

- Assignment Papers (for an Application)
 Drawing(s)
 Licensing-related Papers
 Petition
 Petition to Convert to a Provisional Application
 Power of Attorney, Revocation Change of Correspondence Address
 Terminal Disclaimer
 Request for Refund
 CD, Number of CD(s) _____

- After Allowance Communication to Group
 Appeal Communication to Board of Appeals and Interferences
 Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
 Proprietary Information
 Status Letter
 Other Enclosure(s) (please identify below)

Declaration Application Data Sheet

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name
FULBRIGHT & JAWORSKI L.L.P.
William B. Tiffany, Reg. No. 41,347

Signature

Date
August 2, 2002

Transmittal

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: Commissioner for Patents, Washington, DC 20237, on the date shown below.

Dated: August 2, 2002

Signature:
Joy H. Perigo

(Joy H. Perigo)



COPY OF PAPERS
ORIGINALLY FILED

PTO/SB/17 (11-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) **695.00**

Complete If Known

Application Number	10/099,875
Filing Date	March 15, 2002
First Named Inventor	Qian Yu
Examiner Name	Not Yet Assigned
Group Art Unit	N/A
Attorney Docket No.	51519-P001US-10203244

METHOD OF PAYMENT (check all that apply)

Check Credit Card Money Order Other None
 Deposit Account

Deposit Account Number **06-2380**

Deposit Account Name **Fulbright & Jaworski L.L.P.**

The Commissioner is hereby authorized to: (check all that apply)

- Charge fee(s) indicated below Credit any overpayments
 Charge any additional fee(s) during the pendency of this application
 Change fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)
105	130	205	65
127	50	227	25
139	130	139	130
147	2,520	147	2,520
112	920*	112	920*
113	1,840*	113	1,840*
115	110	215	55
116	400	216	200
117	920	217	460
118	1,440	218	720
128	1,960	228	980
119	320	219	160
120	320	220	160
121	280	221	140
138	1,510	138	1,510
140	110	240	55
141	1,280	241	640
142	1,280	242	640
143	460	243	230
144	620	244	310
122	130	122	130
123	50	123	50
126	180	126	180
581	40	581	40
146	740	246	370
149	740	249	370
179	740	279	370
169	900	169	900
Other fee (specify)			

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) **265.00**

**or number previously paid, if greater. For Reissues, see above

SUBMITTED BY

Name (Print/Type)	William B. Tiffany	Registration No. (Attorney/Agent)	41,347	Telephone	(214) 855-8204
Signature	<i>William B. Tiffany</i>			Date	August 2, 2002

Fee Transmittal

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: Commissioner for Patents, Washington, DC 20231, on the date shown below.

Dated: August 2, 2002

Signature: *Joy H. Perigo* (Joy H. Perigo)



STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: Qian Yu, et al.

Application No./Patent No.: 10/099,875 Filed/Issue Date: March 15, 2002

Entitled: MONITORING AND IN-LINE COMPENSATION OF POLARIZATION DEPENDENT LOSS FOR LIGHTWAVE SYSTEMS

University of Southern California (LA), a University
(Name of Assignee) Type of Assignee, e.g., corporation, partnership, university, government agency, etc.

states that it is:

1. the assignee of the entire right, title, and interest; or
2. an assignee of less than the entire right, title and interest.

The extent (by, percentage) of its ownership interest is 0.0 %

in the patent application/patent identified above by virtue of either:

A. [x] An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. [] A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

[] Additional documents in the chain of title are listed on a supplemental sheet.

[x] Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

August 2, 2002

Date

William B. Tiffany, Reg. No. 41,347

Typed or printed name


Signature

Patent Agent

Title

Statement By Assignee to Establish Ownership (37 CFR 3.73(b))

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: Commissioner for Patents, Washington, DC 20231, on the date shown below.

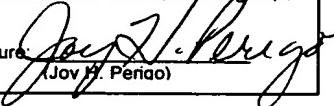
Dated: August 2, 2002

Signature

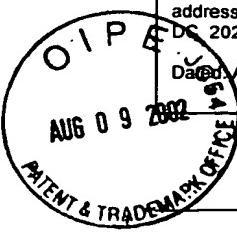

(Joy H. Perigo)

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to: Box Missing Parts, Commissioner for Patents, Washington, DC 20231, on the date shown below.

Dated: August 2, 2002

Signature: 
(Jov M. Periao)

Docket No.: 51519-P001US-10203244
(PATENT)



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
Qian Yu, et al.

Application No.: 10/099,875

Group Art Unit: 2633

Filed: March 15, 2002

Examiner: Not Yet Assigned

For: MONITORING AND IN-LINE
COMPENSATION OF POLARIZATION
DEPENDENT LOSS FOR LIGHTWAVE
SYSTEMS

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Box Missing Parts
Commissioner for Patents
Washington, DC 20231

Dear Sir:

In response to the Notice to File Missing Parts of Application – Filing Date Granted mailed April 8, 2002, Applicant respectfully submits a Declaration, a Power of Attorney, and a Filing Fee for the Application (as shown on accompanying Fee Transmittal).

Our check in the amount of \$695.00 covering the fee set forth in 37 CFR 1.16(e), the filing fee for the subject application, is enclosed. The Commissioner is hereby authorized to charge any deficiency in the fees filed, asserted to be filed or which should have been filed

herewith (or with any paper hereafter filed in this application by this firm) to our Deposit Account No. 06-2380, under Order No. 51519-P001US-10203244. A duplicate copy of this paper is enclosed.

Dated: August 2, 2002

Respectfully submitted,

By William B. Tiffany
William B. Tiffany
Registration No.: 41,347
FULBRIGHT & JAWORSKI L.L.P.
2200 Ross Avenue
Suite 2800
Dallas, Texas 75201
(214) 855-8204
(214) 855-8200 (Fax)
Attorneys for Applicant

COPY OF PAPERS
ORIGINALLY FILED



COPY OF PATENTS
ORIGINALLY ISSUED

Page 1 of 1

#3

UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/099,875	03/15/2002	Qian Yu	51519-P001US

CONFIRMATION NO. 5395

FORMALITIES LETTER

[REDACTED]

OC000000007809223

FULBRIGHT & JAWORSKI L.L.P.
William B. Tiffany
Suite 2800
2200 Ross Avenue
Dallas, TX 75201

Date Mailed: 04/08/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

08/12/2002 AOSMHA1 00000045 10099875

01 FC:201 370.00 DP
02 FC:202 42.00 DP
03 FC:203 18.00 DP
04 FC:205 65.00 DP

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$120.
 - \$36 for 2 total claims over 20.
 - \$84 for 1 independent claims over 3 .
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 990.

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE